

CONTINUITY OF OPERATIONS PLAN 2000

**[INSERT YOUR DEPARTMENT OR
AGENCY NAME]**

**[INSERT YOUR DEPARTMENT OR
AGENCY LOGO]**

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**An example of information that may be included in this section follows;
however, your Forward must be tailored to meet your unique needs.**

FORWARD - SAMPLE

The General Services Administration has operations that must be performed, or rapidly and efficiently resumed, in an emergency. While the impact of an emergency cannot be predicted, planning for operations under such conditions can mitigate the impact of the emergency on our people, our facilities and our mission.

Each of our regional offices has prepared a site specific Continuity of Operations Plan (COOP), and those plans are attached as annexes. These plans will be important resources for ensuring that we can continue to provide essential services to our clients.

Administrator

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APPROVALS

By their signatures below, the following senior level officials certify that they have read this Continuity of Operations Plan (COOP) and fully understand the business resumption procedures to be followed in an emergency affecting the facilities and employees for which they are responsible.

Please use format and provide this information below

Approved: _____ Date _____

[Title]

Approved: _____ Date _____

[Title]

Approved: _____ Date _____

[Title]

Approved: _____ Date _____

[Title]

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1.0 INTRODUCTION

An example of information that may be included in this section follows; however, your introduction must be tailored to meet your unique needs.

SAMPLE

The General Services Administration (GSA) is the Federal government's landlord, telephone company, and supplier of commodities. As such, the GSA, by law and Executive Order, is required to have the capability to maintain continuous operations. Each GSA organizational element therefore must be prepared to continue to function during an emergency or threat of an emergency, and to efficiently and effectively resume critical operations if they are interrupted. Planning for meeting the demands of a wide spectrum of emergency scenarios is necessary, and is accomplished by developing continuity of operations plans.

Personnel not identified in the first five days are to remain at their residences unless otherwise identified by their internal service Continuity of Operation Plans (COOP). All employees who are not required to report will be on call, standby status. Those employees who are not required to report for duty will be placed on paid administrative leave unless otherwise notified.

2.0 PURPOSE

This Continuity of Operations Plan (COOP) provides policy and guidance for **[Insert agency name]** personnel at **[Insert agency address]**, to ensure that critical operations are continued in the event of an emergency or threat of an emergency.

The COOP provides guidance for, and facilitates the preparation of, site- or activity-specific plans and procedures that help ensure the safety of **[Insert agency name]** personnel and allow **[Insert agency name]** organizational elements to continue essential operations in the event of an emergency or threat of an emergency. The planning guidance and the plans to be developed in accordance with it do not address day-to-day activities that enable an organization to conduct or safeguard routine operations. The COOP environment is an emergency response environment. The determination of whether the COOP requirements of all the organizations located at a site can be best addressed in a single, all-inclusive plan, or by having each major organization prepare and coordinate separate plans that when combined become a site. As an extension of their other duties, **[Insert agency name]** leadership at all levels will ensure that personnel are aware of their COOP responsibilities.

3.0 APPLICABILITY AND SCOPE

An example of information that may be included in this section follows; however, Applicability and Scope must be tailored to meet your unique needs.

The provisions of this COOP are applicable to all **[Insert agency name]** personnel located at **[Insert your agency address and include your zip code]**. This plan is applicable to the full spectrum of manmade, natural, and technological emergencies and threats, with the exception of civil defense matters, which are addressed in other documentation.

4.0 AUTHORITIES AND REFERENCES

**Insert any additional applicable Authorities or
References**

COOP planning ensures the continuance and uninterrupted delivery of critical services to the public, other Federal agencies, tenants, clients, and **[Insert agency name]** personnel which is necessary to enable us to comply with existing statutes, executive orders, and mandates, among which are included the Stafford Act, and other applicable laws, statutes, and regulations.

Principle documents mandating the development and implementation of the COOP, include:

- Executive Order 12472, Assignment of National Security and Emergency Preparedness Telecommunications Functions, April 3, 1984
- Executive Order 12656, Assignment of Emergency Preparedness Responsibilities, as amended, November 18, 1988
- Executive Order 12919, National Defense Industrial Resources Preparedness, June 6, 1994
- FPC 60, Continuity of the Executive Branch of the Federal Government at the Headquarters Level During National Security Emergencies, dated November 20, 1990
- FPC 65, Federal Executive Branch, Continuity of Operations, July 26, 1999
- National Security Act of 1947, dated July 26, 1947, as amended
- Presidential Decision Directive 39, U.S. Policy on Counter-terrorism, June 21, 1995
- Presidential Decision Directive 62, Protections Against Unconventional Threats to the Homeland and Americans Overseas, May 22, 1998
- Presidential Decision Directive 63, Critical Infrastructure Protection, May 22, 1998
- Presidential Decision Directive 67, Enduring Constitutional Government and Continuity of Government Operations, October 21, 1998
- Executive Order 12148, Federal Emergency Management, dated July 20, 1979, as amended
- Occupant Emergency Plan (OEP 44 CFR 101-2)
- 41 Code of Federal Regulations (CFR) 101-2, Occupant Emergency Program, revised as of July 1, 1998
- 36 Code of Federal Regulations (CFR) 1236, Management of Vital Records, revised as of July 1, 1998

An example of information that may be included in this section follows; however, your policy should be tailored to meet your unique needs.

5.0 POLICY

As a baseline of preparedness for the full range of potential emergencies, all Federal agencies are required to establish and maintain a viable COOP capability, which ensures the performance of their essential functions during any emergency, or situation that may disrupt normal operations. A viable COOP capability identifies essential functions and consists of plans and procedures, alternate facilities, and alternate interoperable communications and data support systems, reinforced by comprehensive training, orientation, and exercise programs. COOP capabilities must be maintained at a high level of readiness, be capable of being activated both with and without warning, achieve operational status no later than 12 hours after activation, and maintain sustained operations for up to 30 days or until termination.

It is the policy of **[Insert agency name]** to respond quickly at all levels in the event of an emergency or threat, to include human, natural, technological, and other emergencies or threats, in order to continue essential internal operations and to provide support to the operations of client and external agencies.

6.0 OBJECTIVE

The objective of COOP planning is to direct and guide appropriate actions to assure the capability exists to continue core business functions and activities, and to achieve an orderly recovery from emergency situations across a wide range of potential emergencies or threats, including acts of nature, accidents, technological, and attack-related emergencies.

COOP planning is simply a “good business practice”, part of the fundamental mission of agencies as responsible and reliable public institutions. The objectives of a COOP plan include:

- Ensuring the continuous performance of an agency’s essential functions/operations during an emergency
- Protecting essential facilities, equipment, records, and other assets,
- Reducing or mitigating disruptions to operations,
- Reducing loss of life and minimizing damage and losses, and
- Achieving a timely and orderly recovery from an emergency and resumption of full service to customers.

The objectives of a site-specific COOP are to:

- Ensure the safety of **[Insert agency name]** employees during an emergency
- Reduce disruptions to operations
- Protect essential equipment, records, and other assets
- Minimize damage and losses
- Provide organizational and operational stability
- Facilitate decision-making during an emergency
- Achieve an orderly recovery from emergency operations
- Mitigate risks

List your Core Business Units and Functions:

Table 6.1 Core Business Units (SAMPLE: MULTIPLE BUSINESS UNITS)

Core Business Units	Core business functions by Business Unit
<ul style="list-style-type: none"> Financial 	<ol style="list-style-type: none"> 1. Payroll 2. Accounts Receivable 3. Accounts Payable
<ul style="list-style-type: none"> Civil Rights 	<ol style="list-style-type: none"> 1. Plan, develop, coordinate and implement GSA's Civil Rights Program 2. Plan, develop and administer GSA's Nondiscrimination in Federal Assistance Program 3. Plan, develop and administer GSA's Race Initiative as related to the President's Initiative on Race 4. Plan, develop and administer GSA's Equal Employment Opportunity Complaint Adjudication Program
<ul style="list-style-type: none"> Building Operations 	<ol style="list-style-type: none"> 1. Maintenance 2. Protection of Federally owned or operated buildings 3. Construction, alterations, repairs 4. Space Acquisition 5. Public utility services 6. Excess real property
<ul style="list-style-type: none"> Emergency Management 	
<ul style="list-style-type: none"> Human Resources 	
<ul style="list-style-type: none"> Legal 	
<ul style="list-style-type: none"> Information Infrastructure 	
<ul style="list-style-type: none"> Federal Technology Service 	

An example description of business units, functions and operations for a department is in the table below.

Table 6.1.1 Emergency Management Branch (SAMPLE: SINGLE DEPARTMENT, MULTIPLE FUNCTIONS WITHIN DEPARTMENT)

Business Units/Functions	Operations
Administrative	<ol style="list-style-type: none"> 1. Provide executive leadership for GSA, Central Office and the regions in all emergency management related activities. 2. Submit the GSA emergency planning budget and monitor its expenditures 3. Seek legislative changes to enhance our program. 4. Coordinate emergency planning and implementation with personnel and document security offices.
National Security Program	<ol style="list-style-type: none"> 1. Assist in reconstituting the government and GSA in the event of a national security emergency (COG) 2. Participate in the development of national emergency plans. 3. Coordinate the development of COOP plans GSA-wide and external agencies 4. Coordinate GSA response efforts (primarily policy coordination) internally and with other agencies. 5. Manages the National Defense Executive Reserves Program
Domestic Program	<ol style="list-style-type: none"> 1. Assist regional support of emergency activities when workload exceeds the region's capability. 2. Monitor and report on Central Office and regional emergency response efforts. 3. Coordinate GSA response efforts (primarily policy coordination) internally and externally. 4. Assure the capability of GSA to respond to its own emergency needs especially when GSA personnel or facilities are effected.
Telecommunications	<ol style="list-style-type: none"> 1. Develop and provide GSA-wide policy guidance effecting internal emergency telecommunications activities. 2. Represents GSA at NCS functions and training programs.

	3. Coordinate and develop policy to support the Non - wartime Telecommunications Plan.
Training and Exercises	<ol style="list-style-type: none"> 1. Participate in exercises with States, local government, federal departments and agencies. 2. Develops training for RECs. NEMT, NDER, ERT-N, ERT-A or any other organization within GSA that supports the mission. 3. Provides COOP training to internal and external agencies
Operational Programs	<ol style="list-style-type: none"> 1. Coordinate emergency management workshops. 2. Coordinate special event activities GSA-wide i.e. NATO. 3. Manages the classified program. 4. Manages the ADP Plan. 5. Coordinates the contracting and procurement activities.

7.0 ASSUMPTIONS

The following assumptions are basic, however the specialized requirements of your organization may require additional assumptions. The test for a planning assumption is: will the plan fail if the assumption is not true?

This COOP is based on the following assumptions:

- Emergencies or threatened emergencies may adversely affect **[Insert agency name]** ability to continue to support essential internal operations and to provide support to the operations of clients and external agencies.
- Personnel and other resources from **[Insert agency name]** and other organizations outside of the area affected by the emergency or threat will be made available if required to continue essential operations.
- Emergencies and threatened emergencies differ in order of priority or impact.

Vulnerability

The vulnerability of the agency or business unit to an emergency, hazard or threat is based on the combination of the probability of an event occurring and the impact the event would have on operations. The table below represents an assessment of the risks related to a variety of threats and the resultant vulnerability of the organization to the hazard or threat.

Table 7.1 Threat and Vulnerability Assessment

Hazard/Threat	Probability			Impact			Vulnerability		
	L	M	H	L	M	H	L	M	H
Air Conditioning Failure									
Bomb Threat									
Civil Disturbance									
Communication Interruption									
Curiosity									
Earthquake									
Explosion									
External Sabotage									
Fire									
Flooding									
Fraud									
HazMat Release									
Health Hazard/Disease									
Hurricane, Tornado, Windstorm									
Incompetence									
Industrial Accident									
Internal Sabotage									
Mischief									
Network Disruption									
NBC Attack									
Power Failure/Interruption									
Severe Storm									
Sewer Failure									
Snow & Ice									
Steam Failure									
Strike									
Terrorism, Weapon of Mass Destruction									

Destruction									
Theft of Assets									
Theft of Information									
Tsunami									
Volcano									
Water Failure									

8.0 DEFINITIONS

Insert any other definitions that are essential to understanding your COOP.

- a. After-Action Report (AAR). A narrative report that presents issues found during an incident and recommendations on how those issues can be resolved.
- b. Alternate Database/Records Access. The safekeeping of vital resources, facilities, and records, and the ability to access such resources in the event that the COOP plan is put into effect.
- c. Alternate Facilities. An alternate work site that provides the capability to perform minimum essential department or agency functions until normal operations can be resumed.
- d. Cold Site. A relocation site that is reserved for emergency use, but which requires the installation of equipment, etc., before it can support operation.
- e. Continuity of Government (COG). The term COG applies to the measures taken by the Government to continue to perform required functions during and after a severe emergency. COG is a coordinated effort within each branch of the government to continue its minimum essential responsibilities in a catastrophic emergency.
- f. Continuity of Operations (COOP). An internal effort within individual components of the Executive, Legislative and Judicial branches of government to assure the capability exists to continue essential component functions across a wide range of potential emergencies, including localized acts of nature, accidents, and technological and/or attack-related emergencies.
- g. Designated Official. The highest-ranking official of the primary occupant agency or a designee selected by mutual agreement of occupant agency officials.
- h. Emergency. A sudden, usually unexpected event that does or could do harm to people, resources, property, or the environment. Emergencies can range from localized events that affect a single office in a building, to human, natural or technological events that damage, or threaten to damage, local operations. An emergency could cause the temporary evacuation of personnel or the permanent displacement of personnel and equipment from the site to a new operating location environment.
- i. Essential Functions. Those functions, stated or implied, that are required to be performed by statute or Executive Order, to provide vital services, exercise civil authority, maintain the safety and well being of the general populace, and sustain the industrial and economical base in an emergency, or other functions deemed essential by the heads of principal organizational elements.

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- j. Essential Operations. Those operations, stated or implied, that are required to be performed by statute or Executive Order, or other operations deemed essential by the heads of principal organizational elements.
 - k. Essential Positions. Those positions, stated or implied, that are required to be filled by statute, Executive Order or other positions deemed essential by the heads of principal organizational elements.
 - l. Fly-Away Kit. An easily transported set of materials, technology and vital records that will be required to establish and maintain minimum essential operations.
 - m. Hot Site. A relocation site available for immediate occupancy that is equipped to permit rapid resumption of essential functions.
 - n. Hot Wash. An information activity that takes place after disaster response or an exercise simulating a disaster. Its purpose is to identify problems and possible solutions for improving future responses. Observation and recommendations are used to develop "Lesson-Learned Report".
 - o. Internet. Worldwide interconnection of computers, typically interconnected using the TCP/IP protocol. Access to the Internet is normally through service providers and available to the general public.
 - p. Interoperable Communications. Alternate communications that provides the capability to perform minimum essential department or agency functions, in conjunction with other agencies, until normal operations can be resumed.
 - q. Intranet. A privately operated internal computer network that is used to publish information, implement human resource or other business applications within a company or organization. Intranets normally provide services to employees and other individuals within a company or organization.
 - r. Logistics Team. A working group responsible for coordinating the activities associated with relocation planning and deployment of essential operations and positions during a COOP event.
 - s. Management Plan. An operational guide that ensures the implementation, maintenance and continued viability of the COOP.
 - t. Plan Maintenance. Steps taken to ensure the plan is reviewed annually and updated whenever major changes occur.
 - u. Primary Facility. The site of normal, day-to-day operations; the location where the employee usually goes to work.
 - v. Relocation Site. The site where all or designated employees will report for work if required to move from the primary facility.
 - w. Situation Report (SITREP). A written, formatted report that provides a picture of the response activities during a designated reporting period.

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- x. Training and Exercise. This activity includes: 1) efforts to educate/advise designated staff on COOP responsibilities, and on the existing plans; and 2) tests to demonstrate the viability and interoperability of all plans supporting COOP requirement
 - y. Vital Records & Systems. Records necessary to maintain the continuity of operations during an emergency, to recover full operations following an emergency, and to protect the legal rights and interests of citizens and the Government. The two basis categories of vital records are emergency operating records and rights and interests records.

9.0 RESPONSIBILITIES, DELEGATIONS OF AUTHORITY AND SUCCESSION PLANNING

An example of information that may be included in this section follows; however, your responsibilities must be tailored to meet your unique needs.

The purpose of this section is to identify individuals and their responsibilities in the event of an emergency.

The following SAMPLES identify responsibilities of key and designated officials required to implement GSA's agency-wide COOP.

The GSA Administrator/Deputy Administrator is responsible for:

- Serving as the Leader for the Central Office COOP Team.
- Directing the GSA Emergency Coordinator in developing and activating the GSA National COOP
- Developing a COOP multi-year strategy and Program Management Plan
- Appointing an agency COOP program point of contact (POC)
- Planning for its own COOP at headquarters and in all subordinate elements
- Identifying agency essential functions
- Maintaining the agency COOP to include rostering and training/exercise of COOP personnel, notification and relocation procedures
- Testing alert and notification system procedures
- Maintaining alternate or shared facilities in a readiness status
- Ensuring the pre-positioning of essential data/records including classified or sensitive equipment and records
- Ensuring the availability of reliable and interoperable telecommunications and information processing equipment
- Notifying the Federal Emergency Management Agency (FEMA) Operations Center (FOC) and other appropriate agencies when the relocation occurs
- Participating in periodic interagency COOP exercises to ensure effective interagency coordination and mutual support
- Ensuring intra-agency COOP efforts are coordinated with related Critical Infrastructure Protection (CIP) activities under PDD-63.

The GSA National Emergency Coordinator is responsible for:

- Providing advice and assistance to other Emergency Coordinators and personnel in the development of Service, office, or site-specific COOPs
- Assisting in the development, conduct and evaluation of COOP exercises for GSA
- Coordinate the development of the GSA-wide COOP
- Serving as the emergency coordinator for the building

-
- Assessing the severity of the event in an emergency

The GSA Regional Administrator/Designated Official is responsible for:

- Developing, or coordinating the development of, COOPs for their Service, office or site
- Directing and supporting the Designated Official/Regional Emergency Coordinator in developing and maintaining individual operating site COOPs for the individual operating sites.

COOP Designated Official/The Regional Emergency Coordinator (REC) is responsible for:

- Assuming the responsibility, as appropriate and directed, for coordinating the development and maintenance of site-specific COOPs.
- Providing advice and assistance to other Emergency Coordinators and personnel in the development of Service, office, or site-specific COOPs.
- Assisting in the development, conduct, and evaluation of COOP exercises for their and subordinate organizations.
- Providing advice, assistance, and training, as appropriate, in COOP procedures and continually evaluate the effectiveness of the program.
- Participating in Federal, State and local emergency response organizations and develop a working relationship compatible with COOP activities and plans.
- Coordinating GSA COOPs as appropriate with the emergency plans and procedures of other site tenants and entities likely to be affected by COOP execution.

The Occupant Emergency Plan (OEP) Designated Official is responsible for:

- Providing advice and assistance to Emergency Coordinators and COOP planners in the development of their COOPs to ensure coordination with the OEP.

The Chief Information Officer (CIO) is responsible for:

- Ensuring that all vital records and systems are routinely backed up, and maintained at a secured off-site facility. Protection and recovery, to the extent possible, of mission critical, non-electronic files will be the responsibility of each organization.
- Evaluating and determining the location of these facilities, and the means of accessing these files, are included in the essential operations section of this plan.

The GSA Building Manager is responsible for:

- Providing the GSA National Emergency Coordinator with event specific information including a preliminary impact analysis, suggested occupancy or use and any implications to operations,
- Coordinate facility access for emergency responders (fire, police, etc.), and
- Notify designated individuals from event effected departments to facilitate general employee contact.

DELEGATIONS OF AUTHORITY. To ensure rapid response to any emergency situation requiring COOP plan implementation, agencies should pre-delegate authorities for making policy determinations and decisions at headquarters, regional levels, field offices and other organizational locations, as appropriate. These delegations of authority should:

- (1) Identify the programs and administrative authorities needed for effective operations at all organizational levels having emergency responsibilities;
- (2) Identify the circumstances under which the authorities would be exercised;
- (3) Document the necessary authorities at all points where emergency actions may be required, delineating the limits of authority and accountability;
- (4) State explicitly the authority of designated successors to exercise agency direction, including any exceptions, and the successor's authority to re-delegate functions and activities as appropriate;
- (5) Indicate the circumstances under which delegated authorities would become effective and when they would terminate. Generally, pre-determined delegations of authority would take effect when normal channels of direction are disrupted and would terminate when these channels have resumed;
- (6) Ensure that officials who may be expected to assume authorities in an emergency are trained to carry out their emergency duties; and,
- (7) Specify responsibilities and authorities of individual agency representatives designated to participate as members of interagency emergency response teams.

ORDERS OF SUCCESSION. Agencies are responsible for establishing, promulgating, and maintaining orders of succession to key positions. Such orders of succession are an essential part of an agency's COOP plan. Orders should be of sufficient depth to ensure the agency's ability to perform essential functions while remaining a viable part of the Federal Government through any emergency. Geographical dispersion is encouraged, consistent with the principle of providing succession to office in emergencies of all types. Each agency should:

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- (1) Establish an order of succession to the position of Agency Head. A designated official serves as acting head of the agency until appointed by the President or relieved. Where a suitable field structure exists, appropriate personnel located outside the Washington, D.C., area should be considered in the order of succession;
 - (2) Establish orders of succession to other key headquarters leadership positions;
 - (3) Establish, for agencies organized according to the standard Federal regional structure, an order of succession to the position of regional director or equivalent;
 - (4) Identify any limitation of authority based on delegation of authority to others;
 - (5) Describe orders of succession by positions or titles, rather than names of individuals;
 - (6) Include the orders of succession in the vital records of the agency;
 - (7) Revise orders of succession as necessary, and distribute revised versions promptly as changes occur;
 - (8) Establish the rules and procedures designated officials are to follow when facing the issues of succession to office in emergency situations;
 - (9) Include in succession procedures the conditions under which succession will take place; method of notification; and any temporal, geographical, or organizational limitations of authorities;
 - (10) Assign successors, to the extent possible, among the emergency teams established to perform essential functions, to ensure that each team has an equitable share of duly constituted leadership; and,
 - (11) Conduct orientation programs to prepare successors for their emergency duties.

Successor Plan and Delegation of Authority

In the event of an emergency, the following successor plan will be executed. The designated successors will be given the authority to act on behalf of the person who they succeed as noted under "program responsibility".

Table 9.1 Successor Plan (SAMPLE SUCCESSOR PLAN)

Position	Successor	Program Responsibility	Condition
Associate Administrator	Deputy Administrator	Full	All emergencies
Deputy Administrator	Emergency Coordinator	Full	If requested by DA or condition exists
Deputy Administrator	Deputy Administrator, Chicago	Building Operations	When EC not available

10.0 DISTRIBUTION

An example of information that may be included in this section follows; however, your Distribution List must be tailored to meet your unique needs.

The purpose of this section is to determine who needs copies of your COOP, both internal and external to your site, organization, other agencies and tenants and other emergency response organizations. General distribution of the basic COOP plan should be issued to all employees so that everyone is familiar with the plan. Distribution of the entire plan, which may contain classified or sensitive information should be restricted to essential personnel governed by a need-to-know.

Primary Distribution List (Sample)

- Secretary/Administrator
- Assistant Secretary/Deputy Administrator
- Emergency Coordinator
- All Designated Essential Personnel
- Alternate Facilities

Identify the methods to be used for distribution of COOP Plans to the primary distribution list.

Secondary Distribution List (Sample)

- Successors, Backup Regions or Field locations, and Backup Organizations (for backup purposed in the event the Region COOP team is inoperable)
- Other agencies and vendors
- Region field locations

Identify the methods to be used for distribution of COOP Plans to the secondary distribution list.

General Distribution

To assure a high level of readiness by all employees, a digested or unclassified version of the COOP should be made available. Distribution methods may be a combination of the agency Intranet, instructional letters, employee bulletins, or other internal agency memoranda.

All COOP plans are considered internal decisional documents with national and domestic security protections afforded under applicable U.S. statutes. Additionally, due to the inclusion of personal information about **[Insert agency name]** employees, COOP plans shall be protected by the Freedom of Information Act.

11.0 SITE VULNERABILITY ANALYSIS

Hazard & Threat vulnerability assessments should consider primary and secondary risks that may occur at a given site.

The Federal Protective Service (FPS) has the responsibility for conducting Site Vulnerability Analysis on all government owned or leased facilities under the control of GSA. Agencies and organizations should contact the FPS for the completed report.

In some cases, an agency or business unit may designate or authorize an outside organization to conduct their Site Vulnerability Assessment.

Consider emergencies that could occur within your facility and emergencies that could occur in your community.

Hazard or threat identification and vulnerability assessment combine probabilities of event occurrence (earthquake, hurricane, terrorism, etc.) with factors relevant to the specific site (location, operational, and structural characteristics) to determine the risk of a given threat at a site.

Secondary hazards and threats

Hazards and threats may be from a secondary source. Neighboring offices or facilities may house materials or perform operations that generate hazards or threats for your operation. While you have no direct control over that type of hazard or threat, your site vulnerability may be higher.

Physical Security

A Site Vulnerability Analysis typically considers problems relating to the location of the facility in question. The Vulnerability Analysis may reference the risk of demonstrations, acts of terrorism and crime rates in the immediate area. In addition, the analysis may discuss the current protection methods used such as camera systems, guards and access control systems.

Physical security design and assessment should consider both mechanical, electronic and computer issues in addition to the building, agency, function or location-related threats and hazards. Topics ranging from locking systems and updated standards to sensors, screening and detection equipment and digital technology should be included in the Vulnerability Analysis.

Use the following Vulnerability Analysis Charts to guide you in your review of primary and secondary threats and both primary and alternate locations.

Table 11.1 Vulnerability Analysis Chart, Primary Hazards and Threats, at Primary Location

Hazard/Threat	Probability			Impact			Vulnerability		
	L	M	H	L	M	H	L	M	H
Hurricane, Tornado, Windstorm									
Terrorism/Weapons of Mass Destruction									
HAZMAT release									
Crime									
Transportation accidents									
Bomb (threat)									
Flooding									
Fire/Wildfire									
Power failure/interruption									
Civil disturbance									
Health hazard/disease									
Communication interruption									
Earthquake									
Volcano									
Tsunami									

Table 11.2 Vulnerability Analysis Chart, Secondary Hazards and Threats, at Primary Location

Hazard/Threat	Probability			Impact			Vulnerability		
	L	M	H	L	M	H	L	M	H
Prohibited access to the facility									
Smoke damage									
Hazards or threats to adjacent offices or facilities									
Structural damage									
Communications lines down									
Loss of electrical power & blackouts									
Water damage									
Ruptured gas main									
Air or water contamination									
Explosion									
Building collapse									
Trapped persons									
Chemical release									

Table 11.3 Vulnerability Analysis Chart, Primary Hazards and Threats, at Alternate Facility

Hazard/Threat	Probability			Impact			Vulnerability		
	L	M	H	L	M	H	L	M	H
Hurricane, Tornado, Windstorm									
Terrorism/Weapons of Mass Destruction									
HAZMAT release									
Crime									
Transportation accidents									
Bomb (threat)									
Flooding									
Fire/Wildfire									
Power failure/interruption									
Civil disturbance									
Health hazard/disease									
Communication interruption									
Earthquake									
Volcano									
Tsunami									

Table 11.4 Vulnerability Analysis Chart, Secondary Hazards and Threats, at Alternate Facility

Hazard/Threat	Probability			Impact			Vulnerability		
	L	M	H	L	M	H	L	M	H
Prohibited access to the facility									
Smoke damage									
Hazards or threats to adjacent offices or facilities									
Structural damage									
Communications lines down									
Loss of electrical power & blackouts									
Water damage									
Ruptured gas main									
Air or water contamination									
Explosion									
Building collapse									
Trapped persons									
Chemical release									

12.0 IMPLEMENTATION

This COOP will be implemented based on both known and unanticipated threats and emergencies.

- Known threats and emergencies (with warning):

There are some threats to operations that may afford advance warning that will permit the orderly alert, notification, evacuation, and if necessary, the relocation of employees. Situations that might provide such warning include a hurricane, a transportation accident resulting in a threat of a release of Hazardous Material (HAZMAT) or a threat of a terrorist incident.
- Unanticipated threats and emergencies (no warning):

During Non-Duty Hours:

Incidents may not be preceded by warning, e.g., earthquakes, arson, HAZMAT, or terrorist incidents, or may occur while the majority of on-site staff are not at work. In these circumstances, while our operations from home site may be impossible, the majority of our employees will still be able to respond to instructions, including the requirement to relocate following proper notification.

During Duty Hours:

Incidents may also occur with no warning during normal office hours. In these circumstances, execution of the COOP, if indicated by the circumstances of the event, would begin by execution of the site's Occupancy Emergency Plan (OEP) to move employees out of the building expeditiously.

Widespread versus Localized Emergencies

The distinction between a widespread versus a localized event is based on an assessment of the impact of an event on a department, business unit or facility operations. Normally, if an event impacts a significant number of employees or could force the relocation of a significant number of employees, the event is considered widespread. Localized events are usually limited to smaller or isolated areas of a facility, such as a department or business unit.

In either case, it is required to account for the location of all employees.

Widespread and Localized events

Implementation plans should incorporate a time-phased analysis to assure efficient use of resources under the following conditions:

-
- A sudden emergency, such as an explosion, fire, or hazardous materials incident, may require the evacuation of an agency building with little or no advanced notice. A COOP plan is not an evacuation plan; rather, it is a deliberate and preplanned movement of selected key principals and supporting staff to a relocation facility.

Relocation may be required to accommodate a variety of emergency scenarios. Examples include scenarios in which:

- An agency headquarters is unavailable and operations can shift to a regional or field location;
- A single agency facility is temporarily unavailable and the agency can share one of its own facilities or that of another agency; and,
- Many, if not all, agencies must evacuate the immediate Washington, D.C., area.

While any of these scenarios involves unavailability of a facility, the distinction must be made between a situation requiring evacuation only and one dictating the need to implement COOP plans. A COOP plan includes the deliberate and pre-planned movement of selected key principals and supporting staff to a relocation facility. As an example, a sudden emergency, such as a fire or hazardous materials incident, may require the evacuation of an agency building with little or no advanced notice, but for only a short duration. Alternatively, an emergency so severe that an agency facility is rendered unusable and likely will be for a period long enough to significantly impact normal operations, may require COOP plan implementation. Agencies should develop an executive decision process that would allow for a review of the emergency and determination of the best course of action for response and recovery. This will preclude premature or inappropriate activation of an agency COOP plan.

Localized emergency

In the event of a localized emergency, each GSA Element, business function, or organization will be responsible for implementing their COOP plans.

Implementation Activities for Localized Emergencies

A. Phase I – Activation and Relocation (0-12 Hours)

- Each GSA Element will notify the appropriate department personnel.
- Activate the Logistics team to coordinate any relocation requirements.
- Each GSA Element will notify the GSA EC of the event and proposed actions
- Instruct all other emergency and non-emergency personnel on what they are to do.

-
- Within 12 hours, essential personnel or COOP team members will assemble and conduct minimum essential operations.

B. Phase II – Alternate Facility Operations (12 Hours – Termination)

- Continue essential operations.
- The appropriate GSA Element(s) will track all personnel during the emergency.
- Each GSA Element will develop a funding request, to support an emergency appropriation, based on the actual event if appropriate.

C. Phase III - Reconstitution (Termination and Return to Normal Operations)

- Continue minimum essential operations.
- Each GSA Element will develop plans and schedules to phase down alternate facility(ies) operations and return activities, personnel, records, and equipment to the primary facility when appropriate.
- Each GSA Element will inform all personnel, including non-emergency personnel, that the threat of or actual emergency no longer exists, and provide instructions for resumption of normal operations.
- Each GSA Element will conduct a “hot wash” of COOP operations and effectiveness of plans and procedures as soon as possible, identify areas for correction, and develop a remedial action plan.

Implementation Activities for Widespread Emergencies

A. Phase I – Activation and Relocation (0-12 Hours)

- The Administrator or Deputy Administrator will notify initial COOP team of impending activation.
- The GSA EC will notify the Federal Emergency Management Agency Operations Center (FOC) and other appropriate agencies of the decision to relocate.
- Activate the Logistics team to coordinate any relocation requirements.
- Instruct all other emergency and non-emergency personnel on what they are to do.
- Within 12 hours, individuals specified within there GSA Element's COOP will assemble at the pre-selected COOP alternate facility.
- Each GSA Element will conduct minimum essential operations at the COOP alternate facility.
- Emergency Management Office will begin preparations for occupying alternate facility as defined by minimum essential operations as identified in Section 13.0.

-
- Emergency Management Office will coordinate the activation of plans, procedures, SOPs and schedules to transfer activities, personnel, records, and equipment to alternate operating facility(ies).
 - Emergency Management Office will coordinate the assembly of necessary documents and equipment required to continue performance of essential operations at alternate operating facility(ies).
 - Emergency Management Office will coordinate the transportation of documents and designated communications, automated data processing, and other equipment to the alternate operating facility(ies), if applicable.
 - Emergency Management Office will coordinate the securing of the normal operating facility physical plant and non-moveable equipment and records, to the extent possible.
 - All GSA Elements will continue essential operations at the normal operating facility if available, until alternate facility(ies) is operational.

B. Phase II – Alternate Facility Operations (12 Hours – Termination)

- Emergency Management Office will provide amplifying guidance to other GSA Elements through directives or SOPs.
- The appropriate GSA Element(s) will initiate tracking system of all personnel during the emergency.
- Each GSA Element will identify replacements for missing personnel and request augmentation as necessary.
- Each GSA Element will fully implement minimum essential operations.
- Each GSA Element will continue minimum essential operations.
- Emergency Management Office determine need of temporary (permanent) relocation site, additional operations and functions as required.
- The appropriate GSA office will develop a funding request, to support an emergency appropriation, based on the actual event.
- The COOP Team will develop plans and schedules to phase down alternate facility(ies) operations and return activities, personnel, records, and equipment to the primary facility when appropriate.

C. Phase III - Reconstitution (Termination and Return to Normal Operations)

- Each GSA Element will inform all personnel, including non-emergency personnel, that the threat of or actual emergency no longer exists, and provide instructions for resumption of normal operations.
- The GSA Element and the COOP Team will supervise an orderly return to the normal operating facility, or movement to other temporary or permanent facility(ies) using a phased approach if conditions necessitate.
- Emergency Management Office will report status of relocation to the FOC and other agency points of contact (POC), if applicable.
- Emergency Management Office will conduct a “hot wash” of COOP operations and effectiveness of plans and procedures as soon as possible, identifies areas for correction, and develops a remedial action plan.

Table 12.1 Pre-Emergency Checklist (SAMPLE)

CONTINUITY OF OPERATIONS PLAN PRE-EMERGENCY CHECKLIST	
Action Items	Completed By – Date and Time
Alert/Notification 1. COOP Team 2. Logistics Team 3. Essential personnel, non-emergency personnel 4. Appropriate agencies. 5. Primary Backup Region/Secondary Backup Region 6. Communications/Media	
Activation 1. Implement Activation Procedures in Time Phase sequence 2. Activate Logistics Team	
Deployment 1. Deploy and Assemble at pre-selected COOP facility or Relocation Site 2. Deploy with Fly-away Kits	
Operations 1. Within 12 hours begin minimum essential operations 2. Fully implement minimum essential operations 3. Continue essential operations 4. Determine if additional operations or functions are required to include personnel 5. Develop a funding request to support the emergency if required. 6. Appropriate business unit(s) to initiate personnel tracking system during the emergency.	
Phase Down 1. Continue essential functions at alternate facility or until normal operating facility is available Begin transferring business units and functions to normal operating facility 2. Return activities personnel, records and equipment to the primary facility when appropriate. 3. Inform non emergency personnel that the threat no longer exists and instructions for resumption of normal operations 4. Conduct a "hot wash" of COOP operations and	

effectiveness of plans and procedures identified corrective action and develop an action plan.	
---	--

Deployment Planning

When a COOP event has been declared, gathering the necessary items to support an extended stay may be difficult. To satisfy the organization's recovery objectives, the "miscellaneous" or secondary items that can be frequently overlooked become important.

Unlike planning for a casual trip, activities related to an emergency event are usually stress driven and frequently rushed. As part of the planning process, it is suggested that pre-planning and possible pre-positioning of items be considered. The items selected will support the business requirements of the organization and personnel needs for an event that could demand relocation or isolation for an extended period of time.

The Deployment Worksheet is designed to assist in the planning process to reduce the impact of a COOP event on both the business and the individual. Items on the worksheet could include clothing, food, medication, first aid supplies, the Fly-Away kit, cash, etc. that are considered necessary to support a deployment of 30 days or more.

SAMPLE

Table 12.2 Deployment Worksheet

CONTINUITY OF OPERATIONS PLAN DEPLOYMENT WORKSHEET		
Item	Status	Storage location
Personal 1. Hygiene 2. Medication, prescriptions 3. Immunization information 4. Clothing 5. Telephone contact list 6. Transportation 7. Cash/credit cards 8. Communications 9. ID (drivers license, organization, etc) 10. Facility access information 11. Mail, newspaper 12. Lighting 13. Security system 14. Plants, animals 15. Legal/power of attorney		

Personnel/Staff 1. Bedding, sleeping bags 2. Telephones 3. Extra disks 4. Facility access information 5. Water 6. Soap 7. Hygiene supplies 8. First aid kit and book 9. Stamps 10. Light sticks 11. Gloves		
Organization 1. Fly-away kit 2. COOP 3. Telephone list 4. Directory of support organizations 5. Radio, battery 6. Mail handling/distribution		
Operations 1. Office supplies 2. Personnel contact information 3. Extension cords 4. Cooking equipment 5. Tools		
Other		

13.0 Essential Operations, Functions and Positions

Core business operations and functions are defined in the strategic and tactical planning process for your organization.

Provide a brief listing of your key core business units and business functions in the table below. Refer to Section 6. Your organization's core functions may vary.

SAMPLE

Table 13.1 Core Business Units and Business Functions (reference Section 6)

Core Business Units	Business Functions
<ul style="list-style-type: none">• Financial	<ol style="list-style-type: none">1. Payroll2. Accounts Receivable3. Accounts Payable
<ul style="list-style-type: none">• Civil Rights	<ol style="list-style-type: none">1. Plan, develop, coordinate and implement GSA's Civil Rights Program2. Plan, develop and administer GSA's Nondiscrimination in Federal Assistance Program3. Plan, develop and administer GSA's Race Initiative as related to the President's Initiative on Race4. Plan, develop and administer GSA's Equal Employment Opportunity Complaint Adjudication Program
<ul style="list-style-type: none">• Building Operations	<ol style="list-style-type: none">1. Maintenance2. Protection of Federally owned or operated buildings3. Construction, alterations, repairs4. Space Acquisition5. Public utility services6. Excess real property7. Mail distribution
<ul style="list-style-type: none">• Federal Supply	<ol style="list-style-type: none">1. Government-wide supply programs2. Excess personal property

• Federal Technology Service	
• Human Resources	
• Legal	
• Information Infrastructure	

Operational planning should include an assessment of risk and vulnerability and the impact of those risks on critical business functions. Initially, a worse case scenario should be developed. Within this scenario, issues to be considered will be the severity of the occurrence, the anticipated length of time the occurrence will impact your normal operations and personnel, relocation options, and anticipated risks and impacts on mission-critical functions. Operational plans will be implemented using a time-phased approach as explained in Section 12.0.

Issues for consideration:

Alternative modes of operation under conditions of uncertainty

Any advance preparations the facility requires so that the COOP can be rapidly activated

A description of internal reporting requirements

A description of primary and alternate response teams (including information on their location, skills, telephone numbers, etc.)

- **Essential equipment**
- **Computer requirements**
- **Communications requirements**

Primary and Alternate building occupancy and resumption plans

Memorandums of Agreement (MOA) with other Federal agencies or State and local governments and private sector organizations

Each organization will determine the essential operations, functions and positions for each of the service support or business units within the agency. Place information within the appropriate section.

Table 13.2 Phase I - Activation and Relocation (0-12 Hours)
Localized Event

Business Unit	Essential Function or Operation	Number of Personnel	Equipment

Table 13.3 Phase II - Alternate Facilities Operations (12 Hours – Termination)
Localized Event

Business Unit	Essential Function or Operation	Number of Personnel	Equipment

Table 13.4 Phase III - Reconstitution, Termination and Return to Normal Operations
Localized Event

Business Unit	Essential Function or Operation	Number of Personnel	Equipment

In the event of an emergency or threat, facilities or personnel may be suddenly reduced. Based on the severity of the emergency or threat, a plan must be in place that identifies:

- the minimum operational requirements needed to satisfy the agency's mission,
- the minimum functions required to satisfy the operational requirements, and

- the minimum number of positions and personnel required to satisfy the functional requirements of the agency.

Table 13.5 Phase I - Activation and Relocation (0-12 Hours)
Widespread Event

Business Unit	Essential Function or Operation	Number of Personnel	Equipment

Table 13.6 Phase II - Alternate Facilities Operations (12 hours – Termination)
Widespread Event

Business Unit	Essential Function or Operation	Number of Personnel	Equipment

Table 13.7 Phase III - Reconstitution, Termination and Return to Normal Operations
Widespread Event

Business Unit	Essential Function or Operation	Number of Personnel	Equipment

In the event of an emergency or threat, facilities or personnel may be suddenly reduced. Based on the severity of the emergency or threat, a plan must be in place that identifies:

- the minimum operational requirements needed to satisfy the agency's mission,
- the minimum functions required to satisfy the operational requirements, and
- the minimum number of positions and personnel required to satisfy the functional requirements of the agency.

14.0 VITAL RECORDS AND DATABASES

It is essential to ensure that the vital records, data systems and equipment needed to perform essential functions and activities are identified protected and accessible during an emergency or threat.

The protection and availability of documents, references, records, and information systems needed to support essential functions and missions, under the full spectrum of emergencies, is another critical element of a successful COOP plan. Vital records are typically in one of two forms: paper or electronic. Agency personnel must have access to and be able to use these records in the conduct of their essential functions.

Examples of these type records include:

1. **Emergency Operating Records.** Vital records, regardless of media, essential to continued function or reconstitution of an organization during and after an emergency. Included are emergency plans and directives, orders of succession, delegations of authority, staffing assignments, and related records of a policy or procedural nature that provide agency staff with guidance and information resources necessary for conducting operations during an emergency and for resuming formal operations at its conclusion.
2. **Legal and Financial Records.** Vital records, regardless of media, essential to carry out essential/legal and financial functions and activities of an organization and protect the legal and financial rights of the individuals directly affected by its activities. Included are records having such important value that their loss would significantly impair the conduct of essential agency functions to the detriment of the legal or financial rights of the organization or legal and financial rights and entitlements of the individuals directly affected by those functions and activities. Examples of this category of vital records are accounts receivable records, official personnel records, Social Security records, payroll records, retirement records, insurance records, and contract records.

Plans should account for the identification and the protection of the vital records, systems, data management software and equipment, to include classified and sensitive data as applicable, necessary to perform essential functions and activities, and to reconstitute normal agency operations after the emergency. To the extent possible, agencies should pre-position and update on a regular basis duplicate records or backup electronic files.

Major considerations :

- **Identification of mission critical records, including legal and financial rights records. Examples of this category of vital records are accounts receivable records, official personnel records, social security records, payroll records, retirement records, insurance records, and contract records.**
 - **Data, systems, equipment and personnel needed to perform essential functions and operations**
 - **Sources of systems, equipment and personnel needed to ensure continued operations**
 - **Storage facilities**
-

Working Records and Documents.

Working records (including electronic) and documents (including notification lists) needed to respond to or recover from an emergency are readily available should an emergency occur. These records are stored and maintained at the GSA Emergency Operations Center and any relocation sites established to support the Emergency Management Program.

Emergency Operating Records.

Each GSA organization maintains a cache of records needed to ensure that GSA guidance and operational information is available. The teams responding to an emergency or implementing their organizations COOP or GSA COG Plan will use these records. GSA emergency records are a part of GSA Vital Records Program and these records are to be maintained in accordance with GSA Order, GSA Records Maintenance and Disposition System.

Types of Records and Information.

The types of records and information pertinent to a response include, but are not limited to:

- Telephone directories or listings
- Microfiche records
- Documents stating legal and regulatory authorities
- Letters and memoranda
- Memorandum of Understanding, Memorandum of Agreements
- Working documents
- Forms
- Electronic data
- Portable hardware to use electronic data

Fly Away Kits.

Flyaway kits are packages of records, information, communication and computer equipment and other items or material related to an emergency operation. The kit is used by persons supporting an external or internal response or are deployed to relocation sites/alternate facilities. The kits contain primary sources of information and backup information.

Any kit containing unclassified, sensitive and classified documents must be handled and protected in accordance with GSA Orders, Information Security (ADM P 1025.2C and GSA Internal Physical Security (PMS P 5930.1). Security measures should encompass the spectrum of considerations:

- Personnel (access, control)
- Physical (storage, transportation)
- Operational (validation)
- Information (integrity, protection)

SAMPLE**Table 14.1 Emergency Operating Records**

Category	Description	Form of record	Off site storage location	Maintenance Frequency
Emergency plan	Directive	Paper	Alternate Facility	When updated
Delegations of authority	Directive	Paper & Electronic	Site B	Monthly
Building plans	Blue print	Paper	Backup Region	When modified
Systems manuals	Operating guides to computers	Paper	Field Office	At time of purchase

SAMPLE**Table 14.2 Legal and Financial Rights Records**

Category	Description	Form of record	Off site storage location	Maintenance Frequency
Accounts receivable	Near report	Electronic	FEDCAC	Weekly
Payroll	Payroll Record of employees	Electronic	Kansas City Facility	Bi-weekly
Accounts payable	Vendors bills	Paper & Electronic	Fort Worth Facility	Monthly
Social Security & Retirement Records	Survival benefits	Electronic	FEDCAC	Monthly
Official Personnel Records	Retirement benefits	Electronic	FEDCAC	Monthly

15.0 ALTERNATE FACILITIES

In determining alternate facility locations for COOP the physical locations should be determined using the following guidelines.

- **Localized emergencies and threats 0 – 50 mile radius from current location**
 - **Widespread emergencies and threats 50 – 150 mile radius from current location**
-

In the event of an emergency or threat, identifying an alternate facility capable of supporting essential operations, positions and personnel is critical. These facilities shall be capable of supporting operations in a threat-free environment, as determined by the geographical location of the facility and/or the collective protection characteristics of the facility. In acquiring and equipping such facilities, agencies are encouraged to consider cooperative interagency agreements and promote the sharing of identified alternate facilities. Issues to be considered include:

- Capability of sustained use
- Dual Use
- Transportation of personnel to/from the alternative site
- Lodging requirements
- Telecommuting, work-from-home
- Co-location with other agencies
- Virtual environments

Alternate facilities should provide:

1. Immediate capability and reliable support services to perform essential functions under various threat conditions, including threats, involving weapons of mass destruction;
2. Interoperable communications with all identified essential internal and external organizational, critical customers, and the public;
3. Sufficient space, and equipment to sustain the relocating organization. Since the need to relocate may occur without warning, or access to normal operating facilities may be denied, agencies are encouraged to pre-position and maintain minimum essential equipment for continued operations at the alternate or shared operating facilities;
4. Ability to sustained operations for a period of up to 30 days or termination;
5. Consideration of the health, safety, and emotional well-being of relocated employees;
6. Appropriate physical security and access controls; and
7. Reliable logistical support and infrastructure systems including water, electrical power, heating and air conditioning, etc.

There are five major considerations as alternate facilities are identified and secured:

1. **Concept of Essential Operations:** The purpose of an alternate facility is to provide an organization a means of accomplishing its COOP mission essential functions in the event of an emergency or threat if the organization's primary location is unoccupiable. A thorough understanding of the agency mission, essential functions, the concept for deployment and operations at an alternate facility, communications connectivity requirements, and the resources allotted is essential.

In Section 13: Essential Operations, Functions and Personnel, organizational requirements were identified by implementation phase. The application of the information within these tables will support the specifications and requirements for the alternate facilities within this section.

2. **Developing Alternate Facility Requirements:** The alternate facility requirements are derived from the study of elements necessary to continue essential functions. In this process, tradeoffs may have to be made. An alternate facilities requirements worksheet is provided in Annex A to assist in requirement's development.

SAMPLE

Table 15.1 Facility Requirements

COOP Phase	Essential Function	Number of Employees	Space Requirements
Phase I(first 12 hours)	Administration	4	400 sq ft
Phase II (day 1-day 5)	Administration	5	500 sq ft
Phase II	Clerical	2	150 sq ft
Phase II	Process analysts	3	450 sq ft

SAMPLE**Table 15.2 Facility Infrastructure Requirements**

COOP Phase	Human needs (special)	Secure Storage	Security	Power	Communication
Phase 1	4 desks	Yes	Normal	Standard	4 telephones, long distance, one satellite dish
Phase II	Food service for 25	Yes	Parking area, escort	Additional lines for 20 computers, HVAC to satisfy heat increase	25 lines (long distance), internet access
Phase II	Sleeping for 4 singles	Yes	As above		

3. **Funding Constraints:** Acquisition alternatives (e.g.; host/tenant agreements, individual agency leases, co-location, Government owned) for alternate facilities span a broad cost spectrum. Low cost alternatives and specific alternate facilities requirements may be difficult to reconcile; COOP planners must understand an organization's internal funding mechanisms, and OMB COOP funding guidance.

4. **Training and Exercise:** COOP plans for alternate facilities should consider the acquisition and documentation of training/exercise locations that closely replicate actual alternate facilities. An alternative to full deployment exercises is "table-top" exercises which can test continuity of essential operations. The complexity of exercises is dependent on the resources available for the program.

In Section 17: Training and Section 18: Exercise, plans were developed to test the COOP readiness of the organization. The application of the information within those two sections will satisfy the training and exercise requirements of this section.

5. **Formal Agreements:** Anticipate that formal agreements such as Memorandums of Understanding, leases, occupancy agreements and contracts will be part of the alternate facilities acquisition and COOP planning processes. Plan to include contracting officers and legal review in the process.

SAMPLE**Table 15.3 Alternate Facility Agreements**

Facility	Agreement	Date executed	Annual Cost	Special notes
J Street	MOU with Financial Affairs for 500 sq ft, Phase I	7/30/99	0	They will provide desks and space
J Street	MOU with Public Affairs for 15 people	8/13/99	0	6 th floor offices
Crystal City	MOU with FSS for 1,000 sq ft	9/15/99	\$ 5,000	Excellent storage and floor space. Could expand
Phoenix	Contact with Del Webb for 15,000 sq ft	7/30/99	\$25,000	Occupancy agreement assures space near Central Ave and Thomas

16.0 INTEROPERABLE COMMUNICATIONS

The GSA Federal Technology Service (FTS) has developed a comprehensive interoperable communications plan: FTS 2000/2001. The plan addresses enhanced methods of call completion, telecommunications service priority (TSP) and government emergency telecommunications service (GETS).

The success of agency operations at an alternate facility is absolutely dependent upon the identification and availability and redundancy of critical communication systems to support connectivity to internal organizations, other agencies, critical customers and the public. When identifying communications requirements, agencies should take maximum advantage of the entire spectrum of the communications media likely to be available in any emergency situation. These services may include, but are not limited to: secure and non-secure voice, fax, and data connectivity; Internet access; and e-mail. Interoperable communications should provide:

1. Capability commensurate with agency's essential functions and activities;
2. Ability to communicate with COOP contingency staffs, management and other organizational components.
3. Ability to communicate with agencies and emergency personnel; and
4. Access to other data and systems necessary to conduct essential activities and functions.

SAMPLE

Table 16.1 Interoperable Communications Worksheet

Service	Current Provider	Specifications	Alternative Provider	Special notes
Voice lines				
Fax lines				
Data lines				
Cellular phones				
Pager				
e-mail				
Internet				
Mail (paper)				

17.0 TRAINING

The training of personnel is essential to improving the capability of agencies to execute their COOP plans and familiarize their members with the essential functions that they might have to perform in an emergency. The continued viability of a COOP is largely dependent on the training of its personnel and the evaluation of the results of the training programs. Major topics to be considered that will identify the issues and resources to implement an effective COOP education program include:

- Orientation/Initial training programs
- Enrichment courses/Refresher classes
- Frequency and methods
- Funding requirements

Table 17.1 Training Plan

PROGRAMS	METHODS	AUDIENCE	FREQUENCY	COST
Orientation	Classroom Study material	Senior Mgmt	Yearly	\$5,000
Refresher	Intranet	All Employees	Yearly	\$2,000
	Workshop	COOP Team	Monthly	\$12,000

18.0 TESTING AND EXERCISES

Goal of Exercises: to improve Operational Readiness

Exercises:

Reveal Planning Weaknesses

Reveal Resource Gaps

Improve Coordination

Clarify Roles and Responsibilities

Improve Individual Performance

Gain Public Recognition of the COOP Plan

When conducting an exercise, ensure that you have others to assist you in running the exercise. This is critical from the viewpoint of monitoring the events and ensuring that participants don't get too far off track. If monitoring you'll probably hear that the exercise was a waste of time. It is important that participants be allowed to improvise and respond to events in any manner, which will exercise the objective.

Shortfalls will be identified, and corrective action incorporated into the plan.

To maximize the capabilities of potential responders, all GSA Elements will participate in the planning, implementation, and critique of exercises that test their COOP plan.

Federal laws, Executive Order 12656, and National Security Decision Directives, Presidential Decision Directives or similar documents mandate an emergency preparedness capability. The capability will ensure a decisive and effective Government response to any major emergency or threat. The Federal Exercise Program is the principal tool that all GSA Elements will use to maintain this preparedness capability. The goals are to:

- Improve the capability of organizations and individuals to execute and evaluate their emergency management operational responsibilities;
- Familiarize Government personnel with the issues encountered during a major emergency or threat;
- Validate plans, policies, procedures, and systems; and
- Identify deficient plans, policies, and procedures as well as systems for subsequent correction.

It is essential that a test and exercise program plan be developed and implemented to ensure the integrity of the COOP. It is the responsibility of the **[Insert agency name]** to establish an exercise schedule for their entity and determine the reporting requirements of the after action reports.

Major issues to consider within the testing and exercise program plan include:

- Purpose of Exercising the COOP
- Types of exercises
- Managing the process
- An annual interagency COOP exercise participation schedule
- After action reporting formats
- A management plan for incorporating lessons learned from exercise events into the COOP
- Funding requirements

GSA Exercise Program

The GSA Exercise Program is developed cooperatively all levels of the GSA structure, from local business elements, regions to the Central Office. It was the responsibility of the staff at these levels to develop a multi-year program that includes exercises of varying types and scope, designed to improve the overall GSA response capabilities to emergency requirements and plans.

The No Fault concept applies to GSA Exercise Program. Performance by individuals or organizations is not graded. Exercise evaluation is only intended to identify systemic weaknesses and to suggest corrective actions that enhance readiness. However, following an exercise, a hot-wash and after-action report will be completed.

Funding

Each GSA Element will fund its internal exercise participation and is included in the individual organization's annual budget. The Emergency Management Office will fund Full-scale or Table-top exercises if funding is received.

Each of the Exercise types plays an important purpose in the overall scheme.

Table 18.1 Exercise Program Plan

TYPE	PARTICIPANTS	FREQUENCY	COST	LOCATION
Orientation Seminar	New hires	Monthly	\$1,000	Training room
Drill	Successors	Quarterly	\$15,000	At COOP facility
Tabletop	Senior management	Annual	\$25,000	TBD
Full-Scale	Central office and regional COOP teams	Annual	\$200,000	TBD
Functional				
Case Study				
Synthetic				
Specialty				
Telecommunications				

1. **Orientation Seminar:** Introducing new programs, policies or plans Serving as a starting point for most exercise
2. **Drill:** Practice and perfect a single emergency response. Focuses on a single operation and exercises only one agency
3. **Tabletop:** Provide an opportunity to resolve questions of coordination and responsibility. Lend themselves to low-stress discussions of plans, policies and procedures.
4. **Full-scale:** Combines the interactivity of the functional exercise with a field element. A full-scale exercise is as close to the real thing as possible.
5. **Functional:** Simulates a disaster in the most realistic manner possible, short of moving real people and equipment to an actual site. It serves as foundation for a full-scale exercise
6. **Case Study :** Tests Problems-Solving Capabilities
7. **Synthetic:** Pre-Programmed Exercise – Use Of Electronic Equipment
8. **Specialty:** Test specialty teams (i.e., bomb threat)
9. **Telecommunications:** Tests alerting systems and telecommunications

Two of the most useful scheduling tools are shown below: the Gantt chart and a work plan.

Table 18.2 Gantt Chart

EXERCISE SCHEDULE AND TASK																
TASKS	MONTH (days)															
Define Objectives																
Scenario Development																
Narrative																
Major Events																
Detail Events																
Messages																

The work plan can be used alone or with the Gantt chart. It sets out in brief narrative format exactly what will be accomplished through a period of time

Table: 18.3 Work Plan

SAMPLE EXERCISE WORK PLAN PROPOSED DATE OF EXERCISE: MONTH 00		
MONTH/YEAR	BRIEF NARRATIVE	ACCOMPLISHMENTS

AFTER ACTION REPORT

Documentation of the effectiveness of the exercise takes the form of an After Action report, which should be prepared within one to three weeks of the exercise, while memories are still fresh.

Although there is no set organizational plan for an After Action Report, the following topics are usually developed:

Table 18.4 After Action Report Format

THE AFTER ACTION REPORT	
Introduction: (The Main Purpose of The Report, Why It's Being Submitted, Main Topics It Will Cover and The Order They'll Appear, Sometimes A General Summary of Main Problem and Recommendation)	
Statement Of The Problem: (Why The Exercise Was Conducted).	
Exercise Summary Goals and Objectives Pre-Exercise Activities Description of Exercise Scenario	
Accomplishments And Shortfalls Evaluation Group Finding Summary of Post-exercise debrief	
Recommendations Training Needs Changes in Exercise Plan Other Corrective Actions	

SAMPLE**Table 18.5 Coordinated Training/Testing/Exercise plan**

TRAINING/TESTING/EXERCISE PLAN												
ACTIVITY	MONTH											
	J	F	M	A	M	J	J	A	S	O	N	D
Training class 1												
Test 1												
Exercise 1												
Training class 2												
Test 2												
Exercise 2												
Training class 3												
Test 3												
Exercise 3												

19.0 PLAN MAINTENANCE

COOP plans should be reviewed as part of the training and exercise program. Changes in organization, function, service to clients, and stakeholders, will be made to the plan as they occur.

Major issues to be considered include:

- Designating a review team
- Identification of robust items or issues that will impact the frequency of changes required to the COOP
- Establishing a review cycle

Table 19.1 COOP Review Team

Team List Names	Department	Contact Information
Jane Q Smith	Emergency planning	202-555-1212 j.q.smith@gsa.whs
Tom Table	FPS	202-555-1212 t.table@fps.lmd
Lin Grim	FTS	703-555-1212 lin.grim@fts.com
Jill Shorts	PBS	301-555-1212 jil.shorts@pbs.aol
Don Limited	Budget development	707-555-1212 dlimited@bud.mga

Table 19.2 Robust items

Item	Probable frequency of change	Source
Reorganization	Monthly	Administrator
Telephone list	Weekly	Different departments
Alternate facility	Unknown	GSA PBS
Guidance on alternate facilities	Monthly via Federal Preparedness Circular (FPC)	FEMA director and GSA administrator
Activation guidelines	FPC or NSC	PDD, FEMA, GSA

Table 19.3 Review Cycle

Section(s) Reviewed or Changed	Date
Section 9: Responsibilities (appendix details only)	Aug 20, 2000
Section 10: Distribution (name and contact information, primary list)	September 28, 2000
Section 13: Essential Functions (business mission changes)	October 15, 2000

Elements of a Viable COOP

To assure the organization or agency capabilities are satisfied, the COOP will provide for continued performance of essential functions under all circumstances. This COOP contains the following plans and procedures:

Table 19.4 Critical Viability Plans and Procedures Elements

Element	Location of element within COOP
1. Delineate essential functions and activities	Section 6, Section 13
2. Decision process for determining appropriate actions in implementing COOP plans and procedures	Section 12
3. Roster of fully equipped and trained emergency personnel with the authority to perform essential functions and activities	Appendix of Sections 13, 17 or 18
4. Procedures for employee advisories, alerts, COOP implementation, with instructions for relocation to pre-designated facilities, with and without warning, during duty and non-duty hours	Section 12
5. Provide for personnel accountability throughout the duration of the emergency	Section 12 or Appendix
6. Provide for attaining operational capability within 12 hours	Section 12, Section 13
7. Establish reliable processes and procedures to acquire resources necessary to continue essential functions and sustain operations for up to 30 days	Section 13 or Appendix of Section 13

20.0 MANAGEMENT PLAN

Agencies should develop and maintain their COOP capabilities using a multi-year strategy and program management plan. The plan should outline the process the agency will follow to designate essential functions and resources, define short and long-term COOP goals and objectives, forecast budgetary requirements, anticipate and address issues and potential obstacles, and establish planning milestones.

The COOP represents a “living” document and must be updated on a regular basis. Important issues relating to the implementation, maintenance and continued operation of the COOP as specified by relevant portions of PDDs 39, 62, 63 and 67 and future directives may impact the operation, authorities, responsibilities or other definitions within a COOP. Designing a management plan to address these contingencies ensures a viable D/A COOP capability. Major issues within the COOP management plan will include:

- Management support
- Funding requirements
- Resource requirements

Section 20 is designed to provide a structure for a proposal that could be submitted to senior management to justify resources required to maintain your organization’s COOP. The following elements should be included:

Part I.	COOP Overview
Part II.	Role of Emergency Coordinator and Organizational Leadership
Part III.	Proposed schedule
Part IV.	Goals and Assumptions
Part V.	Preliminary Budget
Part VI.	Request

Part I: COOP Overview

Since this is a standalone document, some portions of the text from Sections 2 and 3 should be included to provide an overview of the COOP. This information is used to inform management of the purpose of COOP and the commitment that must be made by the organization.

Part II: Role of Emergency Coordinator and Organizational Leadership

This section provides further explanation of the role of the Emergency Coordinator and the review team. The initial explanations of these functions are included in Section 19, Table 19.1, COOP Review Team. This should describe the leadership role that the team will assume in maintaining the COOP in addition to the individual responsibilities of each member.

Part III: Proposed Schedule

This section builds on the information in Section 19, Table 19.2 Robust Items and 19.3 Review Cycle, providing details behind the strategies planned for keeping the COOP current. It should include an explanation or justification of the robust items and the review cycle assigned to each item.

Part IV: Goals and Assumptions

Since this is a standalone document, a short summary of Section 6 should be provided (probably rewording the first paragraph). This summary provides backup information about the resources and funds that are being requested.

This section should include:

- The ongoing or recurring costs and resources specified in Section 10: Distribution regarding duplication and distribution of the COOP to individuals identified in the Primary, Secondary and General Distribution lists, including Intranet costs and orientation costs (and methods);
- The ongoing or recurring costs and resources specified in Section 13: Essential Operations, regarding equipment needs or special requirements;
- The ongoing or recurring costs and resources specified in Section 14: Vital Records, regarding storage or backup systems;
- The ongoing or recurring costs and resources specified in Section 15: Alternate Facilities, regarding location, furnishings, power, communications, contracts or MOU's;
- The ongoing or recurring costs and resources specified in Section 16: Interoperable Communications, regarding services, access agreements and special equipment;
- The ongoing or recurring costs and resources specified in Section 17: Training, regarding the training plan;
- The ongoing or recurring costs and resources specified in Section 18: Exercises, regarding the exercise plan;
- The ongoing or recurring costs and resources specified in Section 19: Plan Maintenance, regarding the COOP team, meetings, subscriptions or specialized information to support team activities, developing and conducting the actual exercises.

Part V: Preliminary Budget

As a result of acquiring the details of the resources needed to maintain the COOP in Part IV above, developing the actual budget is a matter of moving the numbers to a tabular form.

SAMPLE

Table 20.1 Budget

COOP Section	Item	Cost (\$)	Planned expenditure date
Section 10	Intranet web page	1,200	10/1/00
Section 10	Newsletters	3,600	\$300 per month beg, 10/14/00
Section 13	Agreement with FEDCAC	15,000	Two payments 5/00, 11/00
Section 17	Training manuals, printing	500	12/4/00
Section 17	Trainer, two 3-day courses	10,000	4/00, 11/00
Section 18	Tabletop exercise	15,000	3/00
Section 19	5 Team meetings, offsite	2,500	2/00, 5/00, 8/00, 9/00, 11/00

Part VI: Request

This section is the most critical element of the proposal. Up to this point, you have provided management with a clear explanation of your purpose, the rationale behind the request, sufficient details and justification for each expense item and a plan for the actual expenditures. To further support the request, you can add specific, achievable and measurable deliverables to the request.

The Request portion of the proposal is the answer to the question “*What do you want?*”

Section 20.1 Large-scale or Agency-wide Strategic Planning

Sample COOP Multi-Year Strategy and Program Management Plan

Creation of a Continuity of Operations (COOP) Multi-Year Strategy and Program Management Plan is critical to developing and managing viable department or agency COOP capabilities. The Strategy and Management Plan will help COOP planners define short and long-term COOP goals and objectives, develop requirements, identify tasks and milestones, and outline a plan of action to accomplish the tasks within prescribed timeframes. Additionally, it will provide a common basis and informational format for developing and defending COOP budget submissions.

The National Security Council (NSC) and the Office of Management and Budget (OMB) periodically require information or input relating to agency progress or requirements in carrying out COOP responsibilities. The following plan outline is intended to provide a standardized Strategy and Management Plan format, which will facilitate NSC analysis of information and identification of issues, as well as assist agencies in capturing the budget data elements needed to respond to OMB requests. Under each section in the outline are suggested questions, data, or topics for inclusion or discussion. Agencies are encouraged to use the format in preparing their Strategy and Management Plans.

I. Requirements

This section should reference: General requirements of Presidential Decision Directive (PDD) 67 related to COOP planning; Federal Executive Branch COOP guidance, such as the Federal Emergency Management Agency (FEMA) Federal Preparedness Circulars; and any agency-specific requirements, programs, and activities. The section also should address internal agency coordination of any related activities, such as critical infrastructure protection (PDD-63) efforts, counter-terrorism or consequences of terrorism (PDD-62) activities, etc.

II. Elements of Viable COOP Capability

A. Plans and Procedures

1. Overview

Briefly describe/summarize the various elements contained under the category of Plans and Procedures (e.g., identification of essential functions, delegations of authority, orders of succession, warning/notification procedures, COOP plan activation procedures, communications with employees, etc.).

2. Summary of Requirements

Briefly summarize the end state to be achieved in the Plans and Procedures category. What is the timeline for full completion of plans and procedures? What general level of readiness will be sought for specific

Plans and Procedures elements within the next year? How often will plans be updated?

3. Current Capability/Program Status

Provide current status of agency Plans and Procedures. Are COOP plans complete? Have essential functions been identified and prioritized? Are employee notification rosters current? Have orders of succession been created? Have delegations of authority been researched and generated? Do plans require updating?

4. Future Requirements/Tasks

List specific tasks, dates, and responsibilities (such as by office/organization within the agency) required to meet the end state or level of readiness noted in Item A2 above. This section should contain concrete goals and milestones.

B. Alternate Facilities

1. Overview

Briefly describe/summarize the various elements contained under the category of Alternate Facilities (e.g., sufficient space, adequate operations support arrangements, ability to sustain operations for up to 30 days, etc.).

2. Summary of Requirements

Briefly summarize the end state to be achieved in the Alternate Facilities category. When will alternate facility(ies) be fully operationally capable? What general level of readiness will be sought for specific Alternate Facilities elements within the next year? Will alternate facility(ies) need to be enhanced, modified, or refurbished? Over what time period? What ultimate capability is required?

3. Current Capability/Program Status

Provide current status of agency Alternate Facility(ies). Have they been located and secured? Do they require upgrade/modification? Are they of sufficient size to accommodate all COOP contingency staff employees? Are operations support arrangements at the alternate facilities in order?

4. Future Requirements/Tasks

List specific tasks, dates, responsibilities (such as by office/organization within the agency) required to meet the end state or level of readiness noted in Item B2 above. This section should contain concrete goals and milestones.

C. Interoperable Communications

1. Overview
Briefly describe/summarize the various elements contained under the category of Interoperable Communications (e.g., capability to communicate with employees, management, other Federal agencies, critical customers; identification of voice, fax, data, secure and non-secure communications requirements, etc.).
2. Summary of Requirements
Briefly summarize the end state to be achieved in the Interoperable Communications category. What level of communications capability in each media is required within the next 1 year, 2 years? Will existing communications capabilities at the alternate facility(ies) require upgrade or replacement in the future? Within what time period? What ultimate capability is required?
3. Current Capability/Program Status
Provide current status/capabilities of agency Interoperable Communications at the alternate facility(ies).
4. Future Requirements/Tasks
List specific tasks, dates, responsibilities (such as by office/organization within the agency) required to meet the end state or level of readiness noted in Item C2 above. This section should contain concrete goals and milestones.

D. Vital Records and Databases

1. Overview
Briefly describe/summarize the various elements contained under the category of Vital Records and Databases (e.g., identification and protection of vital records, systems, and equipment; means of accessing records, etc.)
2. Summary of Requirements
Briefly summarize the end state to be achieved in the Vital Records and Databases category. What general level of readiness will be sought for specific Vital Records and Databases elements within the next year? Will new means of transferring vital records to the alternate facility(ies) be implemented? Over what time period? What ultimate capability is required?

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3. **Current Capability/Program Status**
Provide current status/capabilities of the agency to access and protect records, systems, and databases required to perform essential functions at the alternate facility(ies).
 4. **Future Requirements/Tasks**
List specific tasks, dates, responsibilities (such as by office/organization within the agency) required to meet the end state or level of readiness noted in Item D2 above. This section should contain concrete goals and milestones.

E. Tests, Training and Exercises

1. **Overview**
Briefly describe/summarize the various elements contained under the category of Tests, Training and Exercises (e.g., periodic testing of systems and procedures, training/orientation for COOP emergency personnel, exercise plans, etc.)
2. **Summary of Requirements**
Briefly summarize the end state to be achieved in the Tests, Training and Exercises category. What general level of readiness will be sought for specific Tests, Training and Exercises elements within the next year? How many employees require training/orientation on their emergency duties? What long-term training and exercise plans will be developed? Over what time period? What ultimate capability is required?
3. **Current Capability/Program Status**
Provide current status/capabilities of the agency in the area of Tests, Training and Exercises for employees expected to perform essential duties at the alternate facility(ies) under COOP conditions.
4. **Future Requirements/Tasks**
List specific tasks, dates, responsibilities (such as by office/organization within the agency) required to meet the end state or level of readiness noted in Item E2 above. This section should contain concrete goals and milestones.

III. Resource Requirements

To facilitate multi-year budgetary planning, supported by adequate justification, each agency should develop its current and out-year funding requirements in accordance with OMB Budget Data Request (BDR) guidance and accepted procedures for Salary and Expenses (S&E) as part of the normal course of the President's budget formulation. The below suggested format, replicating those categories listed on the COOP BDR, will permit presentation of consistent and mutually supportive rationale and justification of

COOP program funding requirements (including S&E) for review by OMB and the NSC. Adequate multi-year budget forecasts also will greatly assist in coordinating and sustaining a viable COOP capability in conjunction with related efforts in the areas of critical infrastructure protection, counter-terrorism, and other programs as required by PDD-67.

	Current FY	Current FY+1	Current FY+2	Current FY+3	Current FY+4
Planning					
Alternate Facilities					
Interoperable Communications					
Vital Records/Database Access/Protection					
Training & Exercises					
Other					

IV. Management and Policy Issues

Address any agency-specific issues, such as:

- Resource requirements
- Internal policies, manuals, directives
- Management responsibilities
- Internal coordination of COOP planning with other activities, such as critical infrastructure protection or counter-terrorism or terrorism preparedness management efforts.

V. Schedule for Completion

Summarize key tasks and dates in chronological order, including when management will review and approve COOP plans and procedures. Detailed program management charts (e.g., Gantt or PERT charts) may be attached to this plan, as appropriate.

VI. Approval

Signature/Approval of Multi-Year Strategy and Program Management Plan by appropriate official.